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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/942,417	08/30/2001	Robert R. Gensler JR.	POU920010074US1	7365

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EXAMINER

SHERKAT, AREZOO

ART UNIT PAPER NUMBER

2131

DATE MAILED: 05/04/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/942,417

Applicant(s)

GENSLER ET AL.

Examiner

Arezoo Sherkat

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 25 January 2005.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-10 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-10 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 11 January 2002 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date 8/30/2001.
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____.

Response to Amendment

This office action is responsive to Applicant's amendment received on January 31, 2005. Claim 1 has been amended. Claims 9 and 10 have been added. Claims 1-10 are pending.

Response to Arguments

Applicant's arguments filed on January 25, 2005 have been fully considered but they are not persuasive.

Applicant argues that Hu does not expressly disclose a variety of security mechanisms present on each one of plurality of data processing nodes.

Examiner responds that Hu discloses different security domains for client and server machine. "When the client system makes a request to use the server, the request is processed by the proxy server, which obtains the client credentials from the gateway authentication process, and then makes a call to the real server, effectively impersonating the client. If the service requested of the server requires that information be passed back to the client from the server, this information is passed through the proxy server acting as an intermediary ... the authentication gateway system, conforms to both the server and the client security domains" (Col. 3, lines 57-67 and Col. 4, lines 1-67 and Col. 5, lines 1-5).

Examiner respectfully maintains the rejection formulated on Sep. 21 2004 as follows:

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-10 are rejected under 35 U.S.C. 102(b) as being anticipated by Hu, (U.S. Patent No. 5,586,260 and Hu hereinafter).

Regarding claim 1, Hu discloses a method for providing security services in a clustered data processing environment, said method comprising the steps of:

providing an access program layer on at least two data processing nodes of said clustered environment, said layer presenting a consistent security interface, from at least two of said nodes (i.e., client and server) to at least two types of security program module which implement a security service on different nodes within said cluster, to applications which run on said nodes (i.e., the authentication gateway system 14, conforms to both the server and the client security domains) and which access a same one of said at least two types of security program modules on different nodes, through said consistent interface (Col. 3, lines 57-67 and Col. 4, lines 1-67 and Col. 5, lines 1-5); and

providing at least one adapter module (i.e., the gateway system) for each security program module, wherein said at least one adapter module maps parameters of said security service to said security interface whereby applications running on

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different nodes do not require modification to use different security program modules (i.e., the RPC call provides for mutual authentication of the client and the authentication gateway, in accordance with the client security domain, and the authentication server obtains and saves the server credentials for the client, the client's server-based security context)(Col. 5, lines 5-67 and Col. 6, lines 1-67 and Col. 7, lines 1-37).

Regarding claim 2, Hu discloses a method in which there are a plurality of more than two of said data processing nodes (i.e., client system, gateway system, and server system)(Col. 3, lines 57-67 and Col. 4, lines 1-5)

Regarding claim 3, Hu discloses a method in which there are a plurality of security program modules (i.e., the gateway allows a client user to log in to the server security domain and set up the appropriate credentials so that a proxy server can later act on this user's behalf)(Col. 5, lines 4-58).

Regarding claim 4, Hu discloses a method in which there are a plurality of said adapter modules (i.e., basically the gateway is a collection of runtime libraries and processes, remote procedure calling (RPC) mechanism)(Col. 5, lines 4-58).

Regarding claim 5, Hu discloses a method in which said access program layer includes authentication and authorization services through said security interface (Col. 5, lines 59-67 and Col. 6, lines 1-65).

Regarding claim 6, Hu discloses a method in which said access program layer includes access control services through said security interface (i.e., the RPC call provides for mutual authentication of the client and the authentication gateway, in accordance with the client security domain, and the authentication server obtains and saves the server credentials for the client, the client's server-based security context)(Col. 5, lines 5-67 and Col. 6, lines 1-67 and Col. 7, lines 1-37).

Regarding claim 7, Hu discloses a method in which said access control list includes entries grouped by at least one characteristic selected from the group consisting of type, mechanism, identity and permission bit mask (Col. 4, lines 59-67 and Col. 5, lines 1-4).

Regarding claim 8, Hu discloses a method in which said access program layer loads security program modules identified through said security interface (i.e., the gateway is a collection of runtime libraries and processes)(Col. 5, lines 4-58).

Regarding claim 9, Hu discloses a computer readable medium having computer executable instructions causing a computer to provide an access program layer on at least two data processing nodes of said clustered environment, said layer presenting a consistent security interface, from at least two of said nodes to at least two types of security program module which implement a security service on different nodes within

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said cluster, to applications which nm on said nodes and which access a same one of said at least two types of security program module on different nodes, through said consistent interface; and to provide at least one adapter module for each security program module, wherein said at least one adapter module maps parameters of said security service to said security interface, whereby applications running on different nodes do not require modification to use different security program modules (i.e., the RPC call provides for mutual authentication of the client and the authentication gateway, in accordance with the client security domain, and the authentication server obtains and saves the server credentials for the client, the client's server-based security context)(Col. 5, lines 5-67 and Col. 6, lines 1-67 and Col. 7, lines 1-37).

Regarding claim 10, Hu discloses a multinode data processing system whose memory contains programming to provide an access program layer on at least two data processing nodes of said clustered environment, said layer presenting a consistent security interface, from at least two of said nodes to at least two types of security program module which implement a security service on different nodes within said cluster, to applications which run on said nodes and which access a same one of said at least two types of security program module on different nodes, through said consistent interface (i.e., the authentication gateway system 14, conforms to both the server and the client security domains)(Col. 3, lines 57-67 and Col. 4, lines 1-67 and Col. 5, lines 1-5), and

to provide at least one adapter module for each security program module, wherein said at least one adapter module maps parameters of said security service to said security interface, whereby applications running on different nodes do not require modification to use different security program modules (i.e., the RPC call provides for mutual authentication of the client and the authentication gateway, in accordance with the client security domain, and the authentication server obtains and saves the server credentials for the client, the client's server-based security context)(Col. 5, lines 5-67 and Col. 6, lines 1-67 and Col. 7, lines 1-37).

Conclusion

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Shambroom, (U.S. Patent No. 5,923,756),

Shambroom, (U.S. Patent No. 6,198,824),

Carlson et al., (U.S. Patent No. 5,506,961),

Wobber et al., (U.S. Patent No. 5,235,642), and

Baskey et al., (U.S. Publication No. 2002/0129274).

THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not

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mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.


Any inquiry concerning this communication or earlier communications from the examiner should be directed to Arezoo Sherkat whose telephone number is (571) 272-3796. The examiner can normally be reached on 8:00-4:30 Monday-Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on (571) 272-3795. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



Arezoo Sherkat
Patent Examiner
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May 1, 2005



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